

JC03 Rec'd PCT/PTO 31 MAY 2005

#2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gordon D. Ross (deceased)

Serial No.: 10/526,185

Group Art Unit: Not yet assigned

Int'l Filing Date: September 4, 2003

Examiner: Not yet assigned

Confirmation No.: Not yet assigned

For: CANCER THERAPY USING BETA GLUCAN AND ANTIBODIES

Date: 05/31/05

EXPRESS MAIL LABEL NO. EV 214 886 529 45

TRANSMITTAL OF SMALL ENTITY STATEMENT  
AND REQUEST FOR REIMBURSEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please file the enclosed Small Entity Statement in the above-identified patent application.

Applicant's Agent respectfully requests a reimbursement of \$600.00, one-half of the total fees paid on February 28, 2005, to be deposited in Deposit Account No. 08-0380. This request is made within the three-month period allowed for such reimbursement.

A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Pamela A. Torpey  
Pamela A. Torpey  
Registration No. 45,736  
Telephone: (978) 341-0036  
Facsimile: (978) 341-0136

Concord, MA 01742-9133

Dated: May 31, 2005

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.27(a))-NONPROFIT ORGANIZATION

DOCKET NUMBER: 3593.1001-008

Applicant: Gordon D. Ross (deceased)

Application No.: 10/526,185

International Filing Date: September 4, 2003

Title: CANCER THERAPY USING BETA GLUCAN AND ANTIBODIES

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION University of Louisville Research Foundation, Inc.

ADDRESS OF NONPROFIT ORGANIZATION 2301 S. Third Street

Louisville, Kentucky 40208

TYPE OF NONPROFIT ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION

☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C.501(a) and 501(c)(3))

☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE \_\_\_\_\_)

(CITATION OF STATUTE \_\_\_\_\_)

☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA

☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

(NAME OF STATE \_\_\_\_\_)

(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.27(a)(3) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

☐ the specification filed herewith with title as listed above.

☒ the application identified above.

☐ the patent identified above.

I hereby state that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person who would not qualify as a person under 37 CFR 1.27(a)(1) or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2) or a nonprofit organization under 37 CFR 1.27(a)(3).

Each additional person, concern, or organization having any rights in the invention is listed below:

☒ no such person, concern, or organization exists.

☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.27(g)(2))

NAME OF PERSON SIGNING James R. Zanewicz, J.D.

TITLE IN ORGANIZATION OF PERSON SIGNING Director, Office of Technology

ADDRESS OF PERSON SIGNING 2301 S. 3rd St., Louisville KY 40208

SIGNATURE

DATE

4/29/05